

1.2 Escalate Request Issues

Introduction

This process group defines the actions to be undertaken by the Applications Management Group to ensure that issues relating to requests, that cannot be handled by the standard Manage Request Issues Process, are escalated for resolution to the appropriate resources (governing body, external service providers, etc.). This Process Group is currently composed of only one sub-process (1.2.1 Monitor and Resolve Escalated Request Issue) which:

- ❑ Identifies escalation criteria, escalation paths and organizational interfaces between Applications Management, SFA, and other service providers involved in closing a Request Issue;
- ❑ Monitors escalated Request Issues until closure is warranted;
- ❑ Interfaces with the Manage Request Issues and the Communicate and Provide Feedback to Users Process.

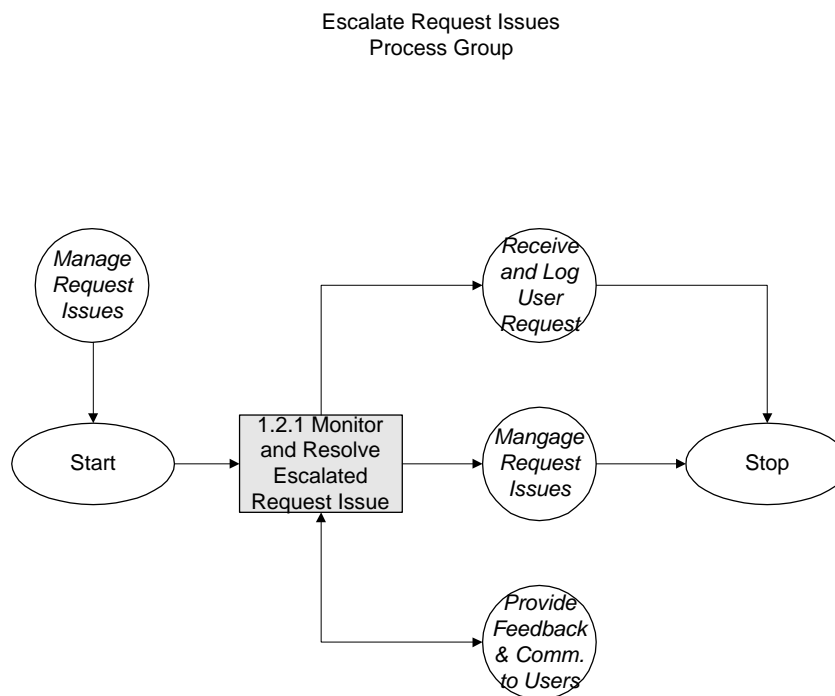
Definition: An **issue** is one that might adversely affect a request/release's budget, quality, schedule, performance, system service or system design, and likely goes beyond the authority of an individual or project team to resolve. An issue is not a team member's difference of opinion, complaint, request or day-to-day concern. Issues have occurred, are resolved with action items, and at times, follow a defined escalation process. Examples of issues that would follow this process include issues that cannot be resolved by one phone call, are not covered or answered by standard guidelines, and that are controversial between areas and/or important to a large group within SFA.

Tip: While reading through the following section please be aware that Inputs, Entrance Criteria, Outputs and Exit Criteria can either be required or not required. This level of detail will be included within the documented steps throughout the process.

Process Owner:	❑ Application Manager
Supplier(s):	❑ Users of the supported application, Applications Management Team Members, governance body members
Customer(s):	❑ Applications Management Team Members (Internal Customer), Users of the Application (External Customer)
*Input(s):	<ul style="list-style-type: none"> ❑ An issue arises from a status report, is escalated and is logged in the Request Issues Management Tracking Tool. ❑ An issue arises from a meeting, is escalated and is logged in the Request Issues Management Tracking Tool. ❑ An issue arises at any point during the lifecycle of a request for service, is escalated and is logged in the Request Issues Management Tracking Tool.

*Entrance Criteria:	<input type="checkbox"/> An issue (see definition above) has been identified after a meeting, upon review of status reports or during the lifecycle of a request for service and has been escalated.
*Output(s):	<input type="checkbox"/> The Request Issues Management Tracking Tool and Request Database is updated as to the status of the escalated issue. <input type="checkbox"/> The Request Issues Management Tracking Tool is updated and an escalated issue is determined to be a change in scope to an existing request for service. (The Receive and Log User Request would be re-entered if this was the case.) <input type="checkbox"/> Action items – It is possible that action items occur after an issue is discussed. The Request Issues Management Tracking Tool (comments section, etc. should be updated).
*Exit Criteria:	<input type="checkbox"/> An escalated issue has been monitored until closure is warranted. <input type="checkbox"/> An escalated issue has been discussed and determined to be a new request for service.
Related Processes:	<input type="checkbox"/> Receive and Log User Request <input type="checkbox"/> Manage Request Issues <input type="checkbox"/> Communicate and Provide Feedback to Users
Related Documentation (Job Aids/Procedures)	<input type="checkbox"/> None
Key Tools	<input type="checkbox"/> Request Database, Request Issues Management Tracking Tool

Process Workflow Diagram



Legend:



Process to be
developed by
Transition Team



Process to be
developed at a
later date



Process to be
developed by
Development Tm.

Process Workflow Description

Ref. #	Process Description	Responsibility/ Process Owner	Tools	Deliverables/ Outcomes
Request Management – Escalate Request Issues Process Group				
1.2.1	Monitor and Resolve Escalated Request Issue – This process defines the actions to be undertaken by the Application Management Team. It ensures that escalation issues are resolved in a timely manner.	Issue Owner (Applications Management Team Member)	Request Database, Request Issues Management Tracking Tool	N/A
Request Management – Related Processes from Request Management Process Group				
1.1.1	Receive and Log User Request - This process defines the actions to be undertaken by the Applications Management Group. It ensures that requests received from Users of are accurately and consistently captured, in order to be appropriately validated, authorized, prioritized, categorized, and completed. This process provides a starting point for the effective tracking and monitoring of all requests coming into the Applications Management Group that align with business objectives.	Request Receiver (Applications Management Team Member)	Request Database, Request Issues Management Tracking Tool	N/A

Ref. #	Process Description	Responsibility/ Process Owner	Tools	Deliverables/ Outcomes
1.1.6	<p>Provide Feedback and Communicate with Users - This process defines the actions to be undertaken by the Applications Management Group. It ensures that the Requester is provided timely and adequate feedback throughout the lifecycle of receiving, validating, authorizing, prioritizing, categorizing and resolving a request. The complexity of a particular request might alter the amount and frequency of feedback provided by the Request Receiver. (ie. the more complex a request is, the more detailed and timely feedback will be.)</p> <p><i>Throughout this process, the Requester is continually kept informed of the status of the request. The process allows for a Requester to modify a request at any point in the Request Management Process.</i></p>	Request Receiver (Applications Management Team Member)	Request Database, Request Issues Management Tracking Tool	N/A
1.1.7	<p>Manage Request Issues - This process will ensure the successful management and resolution of issues throughout the lifecycle of a request for service. The scope of the effort includes managing and resolving those concerns that have the potential to impact the successful completion of a request from users of the supported application.</p>	Issue Identifier (anyone in Applications Management), Issue Owner (Applications Management Team Member), Application Manager (if necessary)	Request Issues Management Tracking Tool	N/A

Revision Log

This log should be updated after each new version as a means of tracking the changes that have been made to the document. Relevant information includes: date of revision, name of person making the revision, and a short description of the changes.

Version	Revised By	Description of Changes

1.2.1 Monitor and Resolve Escalated Request Issue

Introduction

This process defines the actions to be undertaken by the Applications Management Group to ensure that issues relating to requests, that cannot be handled by the standard Manage Request Issues Process, are escalated for resolution to the appropriate resources (governing bodies, external service providers, etc.). This Process:

- ❑ Identifies escalation criteria, escalation paths and organizational interfaces between Applications Management, SFA, and other service providers involved in closing a Request Issue;
- ❑ Monitors escalated Request Issues until closure is warranted;
- ❑ Interfaces with the Manage Request Issues and the Communicate and Provide Feedback to Users Process.

Objectives:

The main objectives of the Monitor & Resolve Escalated Request Issue Process are to:

- ❑ Facilitate the identification and timely resolution of escalated issues (if resolvable);
- ❑ Facilitate the communication and closure of escalated issues;
- ❑ Ensure all parties needed to resolve an escalated issue are informed and, if applicable, are active participants;
- ❑ Ensure that all escalated issues are resolved in a timely manner and ;
- ❑ Assist in effectively capturing, defining and analyzing an escalated issue.

The Monitor & Resolve Escalated Request Process defines the steps for the identification, capturing, analysis, management, resolution, communication and reporting of escalated request issues. It can be entered at any time during the lifecycle of a request for service.

Definition: An **issue** is one that might adversely affect a request/release's budget, quality, schedule, performance, system service or system design, and likely goes beyond the authority of an individual or project team to resolve. An issue is not a team member's difference of opinion, complaint, request or day-to-day concern. Issues have occurred, are resolved with action items, and at times, follow a defined escalation process. Examples of issues that would follow this process include issues that cannot be resolved by one phone call, are not covered or answered by standard guidelines, and that are controversial between areas and/or important to a large group within SFA.

Benefits:

The main benefits of the Manage Request Issues Process are:

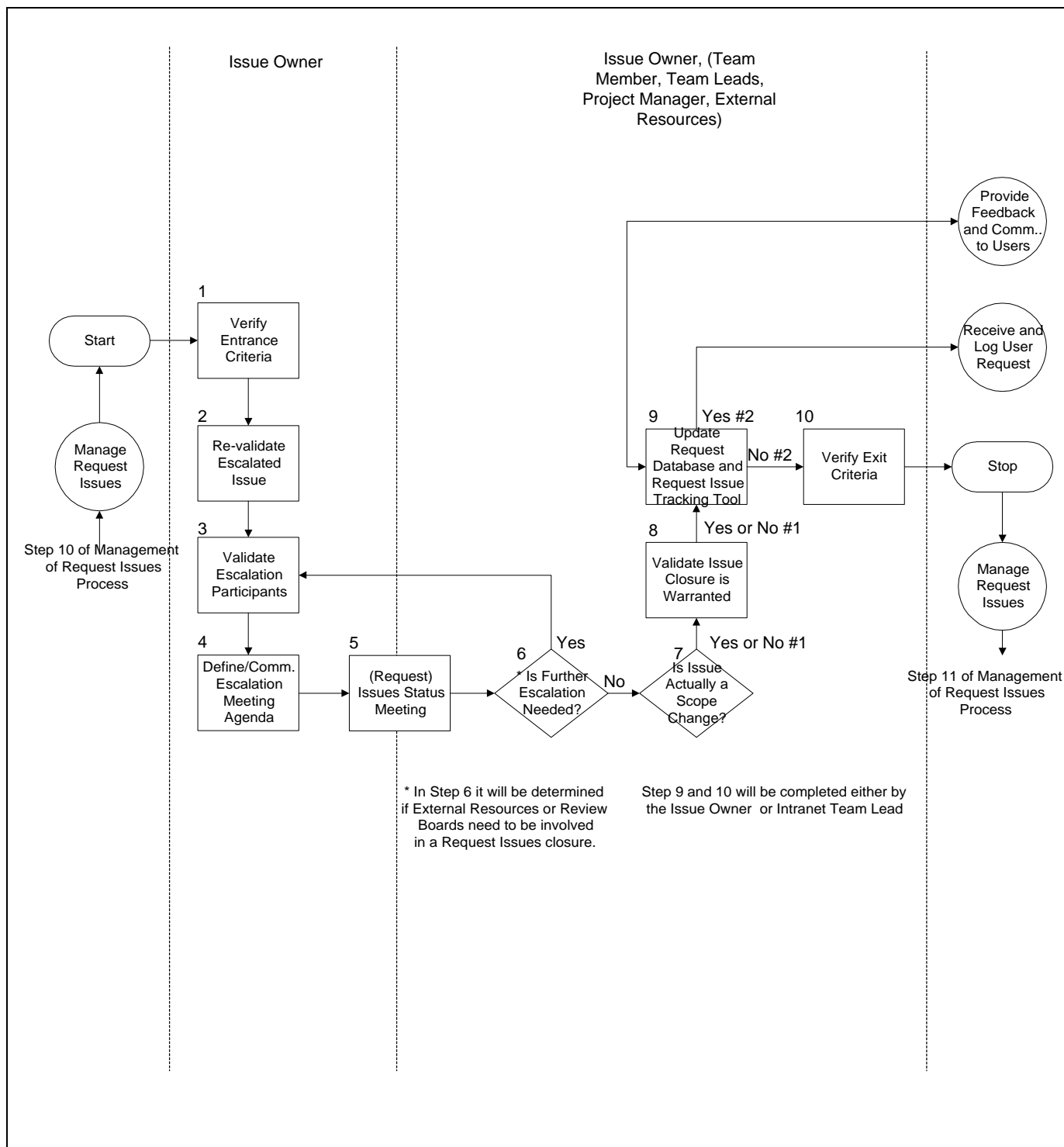
- ❑ Accountability and Ownership of an escalated issue is clearly defined;
- ❑ All Stakeholders have access to an escalated issue's status;
- ❑ Ensures the communication and documentation of the closure of an escalated issue and;
- ❑ Allows for accurate and necessary metrics collection.

** Tip: While reading through the following section please be aware that Inputs, Entrance Criteria, Outputs and Exit Criteria can either be required or not required. This level of detail will be included within the documented steps throughout the process.*

Process Owner:	❑ Application Manager
Supplier(s):	❑ Users of the supported application, Applications Management Team Members
Customer(s):	❑ Applications Management Team Members (Internal Customer), Users of the (External Customer)
*Input(s):	<ul style="list-style-type: none"> ❑ An issue arises at any point during the lifecycle of a request for service, is escalated and is logged in the Request Issues Management Tracking Tool. ❑ An issue arises from a status report, is escalated and is logged in the Request Issues Management Tracking Tool. ❑ An issue arises from a meeting, is escalated and is logged in the Request Issues Management Tracking Tool.
*Entrance Criteria:	❑ An issue (see definition above) has been identified after a meeting, upon review of status reports or during the lifecycle of a request for service and has been escalated.
*Output(s):	<ul style="list-style-type: none"> ❑ The Request Issues Management Tracking Tool and Request Database is updated as to the status of the escalated issue. ❑ The Request Issues Management Tracking Tool is updated and an escalated issue is determined to be a change in scope to an existing request for service. (The Receive and Log User Request would be re-entered if this was the case.) ❑ Action items – It is possible that action items occur after an issue is discussed. The Request Issues Management Tracking Tool (comments section, etc. should be updated).
*Exit Criteria:	<ul style="list-style-type: none"> ❑ An escalated issue has been monitored until closure is warranted. ❑ An escalated issue has been discussed and determined to be a new request for service.
Related Processes:	<ul style="list-style-type: none"> ❑ Receive and Log User Request ❑ Manage Request Issues ❑ Communicate and Provide Feedback to Users

Related Documentation (Job Aids/Procedures)	<input type="checkbox"/> Issue Escalation Completion Procedure (TBD),
Key Tools	<input type="checkbox"/> Request Database, Request Issues Management Tracking Tool

Process Workflow Diagram



Process Workflow Description

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
Start				
1.	Verify Exit Criteria - In order to enter the Monitor and Resolve Escalated Request Issue Process, the Issue Owner must verify that all entrance criteria have been met.	Issue Owner (Most likely Team Lead)	Request Database, Request Issues Management Tracking Tool	N/A
2.	Re-validate Escalated Issue – The Issue Owner is responsible for researching the Request Database and the Request Issues Management Tracking Tool and validating that certain fields have been flagged correctly. The escalation indicator field in the Request Database and in the Tracking Tool should be “Y”.	Issue Owner (Most likely Team Lead)	Request Issues Management Tracking Tool	N/A
3.	Validate Escalation Participants – The Issue Owner is responsible for validating who is needed to resolve an issue that has been escalated. Managers and Team Leads might provide assistance during this step. Responsibility should have been previously discussed in the Manage Request Issues Process (during the status meetings step).	Issue Owner (Most likely Team Lead)	Request Issues Management Tracking Tool	N/A
4.	Define/Communicate Escalation Meeting Agenda – The Issue Owner is responsible for creating a meeting agenda and logistics in order to facilitate the effective closure of an escalated issue. The communication of the agenda should be via email or interoffice mail.	Issue Owner (Most likely Team Lead)	Request Issues Management Tracking Tool	N/A

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
5.	(Request) Issues Status Meeting – Escalated Issues will be discussed in Status Meetings each week. The will be intermixed with issues that have not yet been escalated. This step can coincide with step 8 in the Manage Request Issues Process. All participants on the agenda should attend the status meetings either in person or via a conference call.	Issue Owner, Applications Management Team Lead, Application Manager, External Resources (if necessary)	Request Issues Management Tracking Tool	N/A
6.	Is Further Escalation Needed? – If (Y): If an escalated issue can not be resolved by participants that normally attend Applications Management Status Meetings (i.e. Review Boards or External Resources), then the issue should be escalated once again. The process should return to step 3. If (N): If an escalated issue can be resolved by the parties that are in attendance at a status meeting, then the process can continue on to step 7.	Issue Owner, Application Manager, External Resources (if necessary)	Request Issues Management Tracking Tool	N/A
7.	Is Issue Actually a Scope Change? – If (Y): If it is determined that an escalated issue will cause a new request to be created, then the process will continue with step 8 and eventually exit to the Receive and Log User Request Process. If (N): If it is determined that a new request does not need to be created, the escalated issue has been resolved in the previous step, or the issue has been closed for other reasons, then continue with step 8.	Issue Owner, Applications Management Team Lead, Application Manager, External Resources (if necessary)	Request Issues Management Tracking Tool	N/A

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
8.	Validate Issue Closure is Warranted – At this point, the Issue Owner will validate whether the escalated issue has been resolved, become a new request or the been closed for other reasons. Refer to the Issue Escalation Completion Procedure (TBD) for a more detailed list of requirements for issue closure.	Issue Owner, Applications Management Team Lead, Application Manager, External Resources (if necessary)	Request Issues Management Tracking Tool	N/A
9.	Update Request Database and Request Issue Tracking Tool – At this point in the process the Request Database and Request Issues Management Tracking Tool need to be updated. Please see the Issue Escalation Completion Procedure (TBD) for a detailed list of what fields in both tools need to be completed at this point.	Issue Owner or Applications Management Team Lead	Request Database, Request Issues Management Tracking Tool	Request Database and Request Issues Management Tracking Tool are updated, Provide Feedback and Communicate to Users
10.	Verify Exit Criteria - In order to exit the Monitor and Resolve Escalated Request Issue Process, the Issue Owner must verify that all exit criteria has been met.	Issue Owner (Most likely Team Lead)	Request Database, Request Issues Management Tracking Tool	N/A
Stop				

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